

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Drug Delivery Composition for the Nasal Administration of
Antiviral Agents

the specification of which (check only one item below):

☐ is attached hereto.

☐ was filed as United States application

Serial No. _____

on _____

and was amended

on _____ (if applicable).

☒ was filed as PCT international application

Number PCT/GB95/01735

on 24 July 1995

and was amended under PCT Article 19

on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application(s) for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

PRIOR FOREIGN/PCT APPLICATION(S) AND ANY PRIORITY CLAIMS UNDER 35 U.S.C. 119:

COUNTRY (if PCT indicate "PCT")	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 USC 119
PCT	PCT/GB95/01735	24 July 1995	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
United Kingdom	9414966.3	26 July 1994	<input checked="" type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO
			<input type="checkbox"/> YES <input type="checkbox"/> NO

... designating the United States of America that are listed below and, insofar as the subject matter of each of these claims of this application is not disclosed in that/those prior application(s) in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application(s) and the national or PCT international filing date of this application:

PRIOR U.S. APPLICATIONS OR PCT INTERNATIONAL APPLICATIONS DESIGNATING THE U.S. FOR BENEFIT UNDER 35 U.S.C. 120:

U.S. APPLICATIONS		STATUS (Check one)		
U.S. APPLICATION NUMBER	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
PCT APPLICATIONS DESIGNATING THE U.S.				
PCT APPLICATION NO.	PCT FILING DATE	U.S. SERIAL NUMBERS ASSIGNED (if any)		

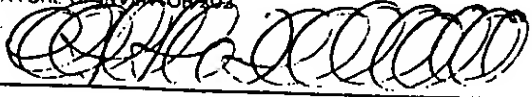
POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (List name and registration number)
Patrea L. Pabst, Reg. No. 31,284

Send Correspondence to: Patrea L. Pabst, Esq.
Arnall Golden & Gregory
2800 One Atlantic Center
1201 West Peachtree Street
Atlanta, Georgia 30309-3450
United States of America

Direct Telephone Calls to:
(name and telephone number)
Patrea L. Pabst -
(404) 873-8794

201	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
		Watts	Peter	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
		Nottingham	United Kingdom	United Kingdom
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY
		47 Highfield Road, Flat 2	West Bridgford, Nottingham	United Kingdom NG2 6DR
202	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
		Illum	Lisbeth	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
		Nottingham	United Kingdom	Denmark
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY
		19 Cavendish Crescent North	The Park, Nottingham	NG7 1BA United Kingdom
203	FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/COUNTRY

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201	SIGNATURE OF INVENTOR 202	SIGNATURE OF INVENTOR 203
P. J. Watts		
DATE 11.3.97	DATE 26.2.97	DATE

- ☒ Applicant ☐ Patentee Danbiosyst UK Limited
☐ Application No. ☐ Patent No. _____
☐ Filed on ☐ Issued on _____

Title: Drug delivery composition for the nasal administration of
antiviral agents

VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(c))—SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern Danbiosyst UK Limited

Address of Small Business Concern Albert Einstein Centre, Highfields Science Park,
Nottingham, NG7 2TN

I hereby declare that the above identified small business concern qualifies as a small business concern, as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third-party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to, and remain with, the small business concern identified above, with regard to the invention described in

- ☐ the specification filed herewith, with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

09343600-050301

Each such person, concern or organization having any rights in the invention is listed below:

- ☐ No such person, concern, or organization exists.
☐ Each such person, concern or organization is listed below.

Name _____
Address _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

Name _____
Address _____

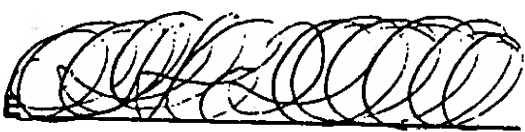
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing Lisbeth Illum
Title of Person if Other Than Owner Managing Director
Address of Person Signing Danbiosyst UK Limited, Albert Einstein Centre,
Highfields Science Park, Nottingham, NG7 2TN

SIGNATURE



Date

24 February 97

09848500-050301



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APRIL 27, 2000

PTAS

ARNALL GOLDEN & GREGORY, LLP
PATREA L. PABST, ESQ.
2800 ONE ATLANTIC CENTER
1201 WEST PEACHTREE STREET
ATLANTA, GA 30309-3450



101284135A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 02/01/2000

REEL/FRAME: 010567/0980
NUMBER OF PAGES: 5

BRIEF: CHANGE OF NAME (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
DANBIOSYST UK LIMITED

DOC DATE: 03/04/1999

ASSIGNEE:
WEST PHARMACEUTICAL SERVICES DRUG
DELIVERY & CLINICAL RESEARCH
CENTRE LIMITED
ALBERT EINSTEIN CENTRE, NOTTINGHAM
SCIENCE AND TECHNOLOGY PARK
UNIVERSITY BOULEVARD
NOTTINGHAM, ENGLAND NG7 2TN

RECEIVED

MAY 03 2000

PATENT DEPT.

SERIAL NUMBER: 08234723
PATENT NUMBER:

FILING DATE: 04/28/1994
ISSUE DATE:

SERIAL NUMBER: 08765347
PATENT NUMBER:

FILING DATE: 02/10/1997
ISSUE DATE:

SERIAL NUMBER: 08776470
PATENT NUMBER:

FILING DATE: 03/28/1997
ISSUE DATE:

DOCKETED FOR _____
Y JSH
5-10-00

SERIAL NUMBER: 08983156
PATENT NUMBER: 6001395

FILING DATE: 03/30/1998
ISSUE DATE: 12/14/1999

SERIAL NUMBER: 09000039
PATENT NUMBER:

FILING DATE: 03/30/1998
ISSUE DATE:

SERIAL NUMBER: 09011306
PATENT NUMBER:

FILING DATE: 03/30/1998
ISSUE DATE:

SERIAL NUMBER: 09059646
PATENT NUMBER:

FILING DATE: 04/13/1998
ISSUE DATE:

SERIAL NUMBER: 09088185
PATENT NUMBER:

FILING DATE: 06/01/1998
ISSUE DATE:

SERIAL NUMBER: 09094959
PATENT NUMBER: 5928669

FILING DATE: 06/15/1998
ISSUE DATE: 07/27/1999

SERIAL NUMBER: 09101254
PATENT NUMBER:

FILING DATE: 08/03/1998
ISSUE DATE:

SERIAL NUMBER: 09155235
PATENT NUMBER:

FILING DATE: 10/30/1998
ISSUE DATE:

SERIAL NUMBER: 09214527
PATENT NUMBER:

FILING DATE: 04/07/1999
ISSUE DATE:

SERIAL NUMBER: 09214561
PATENT NUMBER:

FILING DATE: 04/07/1999
ISSUE DATE:

SERIAL NUMBER: 09214580
PATENT NUMBER:

FILING DATE: 03/30/1999
ISSUE DATE:

SERIAL NUMBER: 09269903
PATENT NUMBER:

FILING DATE: 05/06/1999
ISSUE DATE:

SERIAL NUMBER: 07004189
PATENT NUMBER: 4904479

FILING DATE: 01/15/1987
ISSUE DATE: 02/27/1990

SERIAL NUMBER: 07469443
PATENT NUMBER: 5204108

FILING DATE: 04/09/1990
ISSUE DATE: 04/20/1993

SERIAL NUMBER: 08167611
PATENT NUMBER: 5554388

FILING DATE: 12/14/1993
ISSUE DATE: 09/10/1996

SERIAL NUMBER: 08256431
PATENT NUMBER: 5629011

FILING DATE: 07/12/1994
ISSUE DATE: 05/13/1997

SERIAL NUMBER: 08190022
PATENT NUMBER: 5648095

FILING DATE: 07/08/1994
ISSUE DATE: 07/15/1997

SERIAL NUMBER: 08412094
PATENT NUMBER: 5690954

FILING DATE: 03/28/1995
ISSUE DATE: 11/25/1997

SERIAL NUMBER: 08359937
PATENT NUMBER: 5707644

FILING DATE: 12/20/1994
ISSUE DATE: 01/13/1998

SERIAL NUMBER: 08260611
PATENT NUMBER: 5725871

FILING DATE: 06/15/1994
ISSUE DATE: 03/10/1998

SERIAL NUMBER: 08576877
PATENT NUMBER: 5744166

FILING DATE: 12/21/1995
ISSUE DATE: 04/28/1998

SERIAL NUMBER: 08374671
PATENT NUMBER: 5792475

FILING DATE: 04/14/1995
ISSUE DATE: 08/11/1998

SERIAL NUMBER: 08877273
PATENT NUMBER: 5804212

FILING DATE: 06/17/1997
ISSUE DATE: 09/08/1998

SERIAL NUMBER: 08809158
PATENT NUMBER: 5840341

FILING DATE: 04/21/1997
ISSUE DATE: 11/24/1998

SERIAL NUMBER: 08899976
PATENT NUMBER: 5863554

FILING DATE: 07/24/1997
ISSUE DATE: 01/26/1999

SERIAL NUMBER: 08750738
PATENT NUMBER: 5869103

FILING DATE: 04/04/1997
ISSUE DATE: 02/09/1999

SERIAL NUMBER: 09094959
PATENT NUMBER: 5928669

FILING DATE: 06/15/1998
ISSUE DATE: 07/27/1999

SERIAL NUMBER: 08553401
PATENT NUMBER: 5935604

FILING DATE: 07/01/1996
ISSUE DATE: 08/10/1999

DIANE RUSSELE, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

03-02-2000

U.S. Department of Commerce
Patent and Trademark Office
PATENT

RECEIVED



210 FEB -1 AM 10: 24

101284135

OPR/FINANCE

**RECORDATION FORM COVER SHEET
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New
- ☐ Resubmission (Non-Recordation)
Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☐ Assignment ☐ Security Agreement
- ☐ License ☒ Change of Name
- ☐ Merger ☐ Other

U.S. Government
(For Use ONLY by U.S. Government Agencies)

- ☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached Execution Date
Month Day Year

Name (line 1) Danbiosyst UK Limited

03041999

Name (line 2)

Second Party

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) West Pharmaceutical Services Drug Delivery & Clinical Research Centre Limited

Name (line 2)

Address (line 1) Albert Einstein Centre, Nottingham Science and Technology Park

Address (line 2) University Boulevard

Address (line 3) Nottingham

England

NG7 2TN

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

03/02/2000 DNGUYEN 00000060 09101254

01 FC:581

1240.00 0P

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to: West/General 20260/2
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

Correspondent Name and Address

Area Code and Telephone Number

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

#

Application Number(s) or Patent Number(s)

☒ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

<input type="text" value="08234723"/>	<input type="text" value="08983156"/>	<input type="text" value="09059646"/>	<input type="text" value="4904479"/>	<input type="text" value="5629011"/>	<input type="text" value="5707644"/>
<input type="text" value="08765347"/>	<input type="text" value="09000039"/>	<input type="text" value="09088185"/>	<input type="text" value="5204108"/>	<input type="text" value="5648095"/>	<input type="text" value="5725871"/>
<input type="text" value="08776470"/>	<input type="text" value="09011306"/>	<input type="text" value="09094959"/>	<input type="text" value="5554388"/>	<input type="text" value="5690954"/>	<input type="text" value="5744166"/>

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT PCT PCT
PCT PCT PCT

Number of Properties

Enter the total number of properties involved.

#

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$

Method of Payment:
Deposit Account

Enclosed ☒ Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

Authorization to charge additional fees:

Yes ☒ No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Kevin W. King

Name of Person Signing

Reg. No.: 42,737

Signature

18 JAN. 2000

Date

RECORDATION FORM COVER SHEET
CONTINUATION
PATENTS ONLY

U.S. Department of Commerce
Patent and Trademark Office
PATENT

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1)

Execution Date
Month Day Year

Name (line 2)

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

Name (line 1)

Name (line 2)

Receiving Party(ies)

☐ Mark if additional names of receiving parties attached

Enter additional Receiving Party(ies)

Name (line 1)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Name (line 1)

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)

City

State/Country

Zip Code

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

09101254

09269903

5792475

5928669

09155235

5804212

5935604

09214527

5840341

09214561

5863554

09214580

5869103

TONYA LEE, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

SECRET



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

JULY 24, 1998

PTAS

ARNALL GOLDEN & GREGORY, LLP
PATREA L. PABST
2800 ONE ATLANTIC CENTER
1201 WEST PEACHTREE STREET
ATLANTA, GA 30309-3450



100720802A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION
OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/11/1998

REEL/FRAME: 9185/0391

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

WATTS, PETER

DOC DATE: 03/13/1997

ASSIGNOR:

ILLUM, LISBETH

DOC DATE: 03/13/1997

ASSIGNEE:

DANIBOSYST UK LIMITED
ALBERT EINSTEIN CENTRE
HIGHFIELDS SCIENCE PARK
NOTTINGHAM, UNITED KINGDOM NG7 2TN

SERIAL NUMBER: 08776470

FILING DATE: 03/28/1997

PATENT NUMBER:

ISSUE DATE:

RECEIVED

JUL 31 1998

PATENT DEPT.

RECEIVED FOR W.C. III
BY JSH
DATE 7-31-98



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APRIL 10, 1998

PTAS



100642130A

ARNALL GOLDEN & GREGORY
PATREA L. PABST, ESQ.
2800 ONE ATLANTIC CENTER
1201 W. PEACHTREE STREET
ATLANTA, GA 30309-3400

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/28/1997

REEL/FRAME: 8970/0968
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
WATTS, PETER

DOC DATE: 03/13/1997

ASSIGNOR:
ILLUM, LISBETH

DOC DATE: 03/13/1997

ASSIGNEE:
DANBIOSYST UK LIMITED
ALBERT EINSTEIN CENTRE, HIGHFIELDS SCIENCE PARK
NOTTINGHAM, ENGLAND NG7 2TN

SERIAL NUMBER: ~~08776480~~ 08776470
PATENT NUMBER:

FILING DATE: ~~01/23/1997~~ 03/28/97
ISSUE DATE:

JOANN STEWART, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

RECEIVED

APR 17 1998

PATENT DEPT.

FOR WO/11
JSH
DATE 4-21-98

FORM PTO-1619A

Expires 06/30/99

OMB 0651-0027

05-28-1998



100720802

RECORDATION FORM COVER SHEET
PATENTS ONLYU.S. Department of Commerce
Patent and Trademark Office

PATENT

MAY 11 1998

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

☐ New☐ Resubmission (Non-Recordation)

Document ID#

☐ Correction of PTO Error

Reel #

Frame #

☒ Corrective Document

Reel # 8970

Frame #

0968

Conveyance Type

☒ Assignment☐ License☐ Merger☐ Security Agreement☐ Change of Name☐ Other

U.S. Government

(For Use ONLY by U.S. Government Agencies)

☐ Departmental File☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) Watts, Peter

Name (line 2)

Execution Date
Month Day Year

03131997

Second Party

Name (line 1) Illum, Lisbeth

Name (line 2)

Execution Date

03131997

Receiving Party

☐ Mark if additional names of conveying parties attached

Name (line 1) Danbiosyst UK Limited

Name (line 2) a corporation of the England

Address (line 1) Albert Einstein Centre

Address (line 2) Highfields Science Park

Address (line 3) Nottingham

United Kingdom

NG7 2TN

City

State/Country

Zip Code

If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

FOR OFFICE USE ONLY

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory

Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:

Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

541885.1

WC 111 20260-38

Correspondent Name and Address

Area Code and Telephone Number

(404)873-8794

Name Patrea L. Pabst

Address (line 1) Arnall Golden & Gregory, LLP

Address (line 2) 2800 One Atlantic Center

Address (line 3) 1201 West Peachtree Street

Address (line 4) Atlanta, GA 30309-3450

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

1

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Patent Application or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

08776470

Month Day Year

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application
Number has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41):

\$ 40.00

Method of Payment:

Enclosed

☒

Deposit Account

☐

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

01-2507

Authorization to charge additional fees:

Yes

☒

No

☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Patrea L. Pabst, Esq.

Signature

May 8, 1998

Date

Name of Person Signing

ASSIGNMENT

We, Peter Watts of Flat 2, 47 Highfield Road, West Bridgford, Nottingham NG2 6DR and Lisbeth Illum of 19 Cavendish Crescent North, The Park, Nottingham NG7 1BA in consideration of One Dollar and other valuable consideration paid to us by Danbiosyst UK Limited a corporation of the England, having its principal place of business Albert Einstein Centre, Highfields Science Park, Nottingham, NG7 2TN, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Danbiosyst UK Limited its successors and assigns, the entire interest for the United States of America and all foreign countries including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in Controlled release drug delivery described in an application executed by one of even date herewith and about to be filed Serial No. 08/776,470, filed on 24 January 1997 in the United States Patent and Trademark Office, and in all Letters Patent of the United States and all foreign countries which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuing, reissue or other applications based in whole or in part thereon. And I agree, for myself and my executors and administrators, with said corporation and its successors and assigns but at its or their expense and charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and in all other countries to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

And I do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

WITNESS my hand and seal this 13 day of March 1997

P. T. Watts

(Peter Watts)

[Signature]

(Lisbeth Illum)

Tab settings ☐ ☐ ☐ ☐ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Peter WATTS
Lisbeth ILLUMAdditional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other _____

Execution Date: March 13, 1997

2. Name and address of receiving party(ies)

Name: Danbiosyst UK Limited

Internal Address: _____

Street Address: Albert Einstein Centre

Highfields Science Park

City: Nottingham State: England NG7 2TN

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

08/776,480

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Patrea L. Pabst, Esq.

Internal Address: Arnall Golden & Gregory

Street Address: 2800 One Atlantic Center
1201 W. Peachtree Street

City: Atlanta State: GA ZIP: 30309-3400

6. Total number of applications and patents involved:

1

7. Total fee (37 CFR 3.41).....\$ 40.00

☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

01-2507

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Patrea L. Pabst

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document:

2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231

Tab settings ☐ ☐ ☐ ▼

To the Honorable Commissioner of Patents

02-24-1998



100642130

ET

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Original documents or copy thereof.

1. Name of conveying party(ies):

Peter WATTS
Lisbeth ILLUMAdditional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date: March 13, 1997

2. Name and address of receiving party(ies)

Name: Danbiosyst UK Limited

Internal Address: _____

Street Address: Albert Einstein Centre

Highfields Science Park

City: Nottingham State: England ZIP: NG7 2TN

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

08/776,480

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Patrea L. Pabst, Esq.

Internal Address: Arnall Golden & Gregory

Street Address: 2800 One Atlantic Center

1201 W. Peachtree Street

City: Atlanta State: GA ZIP: 30309-3400

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

01-2507

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Patrea L. Pabst
Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 2

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents & Trademarks, Box Assignments
Washington, D.C. 20231



THE COMPANIES ACT 1985

Company No. 2360391

The Registrar of Companies for England and Wales hereby certifies that

**WEST PHARMACEUTICAL SERVICES DRUG DELIVERY &
CLINICAL RESEARCH CENTRE LIMITED**

formerly called **DANBIOSYST UK LIMITED**

which name was changed by special resolution was incorporated under the
Companies Act 1985

as a limited company on the **13th March 1989** and that the certificate of
incorporation altered to meet the circumstances of the case was issued on
the **4th March 1999**

Given at Companies House, Cardiff, the **2nd August 1999**

P. Gant

for the Registrar of Companies

I, Ian Mark Dee, of 10 Tennis Mews, The Park, Nottingham, England, a Chartered Patent Attorney, European Patent Attorney and Partner in the firm of Eric Potter Clarkson hereby certify that the attached is a true copy of the Certificate of Incorporation on change of Name as issued by the Registrar of Companies for England and Wales.

Signed: *Ian Mark Dee*
IAN MARK DEE

Date: 22 September 1999

Place: Nottingham, England